

Federal Acquisition Regulation

53.301-1407

53.301-1407 Preaward Survey of Prospective Contractor—Financial Capability.

PREAWARD SURVEY OF PROSPECTIVE CONTRACTOR FINANCIAL CAPABILITY	SERIAL NO. (For surveying activity use)	FORM APPROVED OMB NO.
	9000-0011	
PROSPECTIVE CONTRACTOR		

Public reporting burden for this collection of information is estimated to average 24 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the FAR Secretariat (VRS), Office of Federal Acquisition and Regulatory Policy, GSA, Washington, D.C. 20405; and to the Office of Management and Budget, Paperwork Reduction Project (9000-0011), Washington, D.C. 20503.

SECTION I — RECOMMENDATION

1. RECOMMENDED

☐ a. COMPLETE AWARD
 ☐ b. PARTIAL AWARD Quantity: _____
 ☐ c. NO AWARD

2. TOTAL OFFERED PRICE

3. NARRATIVE (Cite those sections of the report which substantiate the recommendation. Give any other backup information in this space or on an additional sheet, if necessary.)

IF CONTINUATION SHEETS ATTACHED — MARK HERE <input type="checkbox"/>			
4. SURVEY MADE BY	a. SIGNATURE AND OFFICE (include typed or printed name)	b. TELEPHONE NO. (include area code)	c. DATE SIGNED
5. SURVEY REVIEWING OFFICIAL	a. SIGNATURE AND OFFICE (include typed or printed name)	b. TELEPHONE NO. (include area code)	c. DATE REVIEWED

AUTHORIZED FOR LOCAL REPRODUCTION EXPIRATION DATE: 9-30-91 1407-103 **STANDARD FORM 1407** (REV. 9-88)
 Previous edition is usable. Prescribed by GSA — FAR (48 CFR) 53.209-1(e)

SECTION II - GENERAL														
1. TYPE OF COMPANY <input type="checkbox"/> CORPORATION <input type="checkbox"/> PARTNERSHIP <input type="checkbox"/> SUBSIDIARY <input type="checkbox"/> DIVISION <input type="checkbox"/> PROPRIETORSHIP <input type="checkbox"/> OTHER (Specify)			3. NAME AND ADDRESS OF: a. PARENT CO. b. SUBSIDIARIES											
2. YEAR ESTABLISHED:														
SECTION III - BALANCE SHEET/PROFIT AND LOSS STATEMENT														
PART A - LATEST BALANCE SHEET			PART B - LATEST PROFIT AND LOSS STATEMENT											
1. DATE	2. FILED WITH		1. CURRENT PERIOD a. FROM b. TO		2. FILED WITH									
3. FINANCIAL POSITION a. Cash \$ b. Accounts Receivable c. Inventory d. Other Current Assets e. Total Current Assets f. Fixed Assets g. Current Liabilities h. Long Term Liabilities i. Total Liabilities j. Net Worth 4. WORKING CAPITAL (Current Assets less Current Liabilities)			3. NET SALES a. CURRENT PERIOD \$ b. First prior fiscal year c. Second prior fiscal year 4. NET PROFITS BEFORE TAXES a. CURRENT PERIOD \$ b. First prior fiscal year c. Second prior fiscal year PART C - OTHER 1. FISCAL YEAR ENDS (Date): 2. BALANCE SHEETS AND PROFIT AND LOSS STATEMENTS HAVE BEEN CERTIFIED a. THROUGH (Date) b. BY (Signature) 3. OTHER PERTINENT DATA											
5. RATIOS a. CURRENT ASSETS TO CURRENT LIABILITIES b. ACID TEST (Cash, temporary investments held in lieu of cash and current receivables to current liabilities) c. TOTAL LIABILITIES TO NET WORTH														
SECTION IV - PROSPECTIVE CONTRACTOR'S FINANCIAL ARRANGEMENTS														
Mark "X" in appropriate column. YES NO 1. USE OF OWN RESOURCES 2. USE OF BANK CREDITS 3. OTHER (Specify)			4. INDEPENDENT ANALYSIS OF FINANCIAL POSITION SUPPORTS THE STATEMENTS SHOWN IN ITEMS 1, 2, AND 3 <input type="checkbox"/> YES <input type="checkbox"/> NO (If "NO", explain)											
SECTION V - GOVERNMENT FINANCIAL AID														
1. TO BE REQUESTED IN CONNECTION WITH PERFORMANCE OF PROPOSED CONTRACT Mark "X" in appropriate column. YES NO a. PROGRESS PAYMENT(S) b. GUARANTEED LOAN c. ADVANCE PAYMENTS			2. EXPLAIN ANY "YES" ANSWERS TO ITEMS 1a, b, AND c											
3. FINANCIAL AID CURRENTLY OBTAINED FROM THE GOVERNMENT a. PROSPECTIVE CONTRACTOR RECEIVES GOVERNMENT FINANCING AT PRESENT <input type="checkbox"/> YES <input type="checkbox"/> NO b. IS LIQUIDATION CURRENT? <input type="checkbox"/> YES <input type="checkbox"/> NO c. AMOUNT OF UNLIQUIDATED PROGRESS PAYMENTS OUTSTANDING \$			Complete items below only if item a., is marked "YES." <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">DOLLAR AMOUNTS</th> <th style="text-align: left;">(a) AUTHORIZED</th> <th style="text-align: left;">(b) IN USE</th> </tr> </thead> <tbody> <tr> <td>a. Guaranteed loans</td> <td>\$</td> <td>\$</td> </tr> <tr> <td>b. Advance payments</td> <td>\$</td> <td>\$</td> </tr> </tbody> </table>			DOLLAR AMOUNTS	(a) AUTHORIZED	(b) IN USE	a. Guaranteed loans	\$	\$	b. Advance payments	\$	\$
DOLLAR AMOUNTS	(a) AUTHORIZED	(b) IN USE												
a. Guaranteed loans	\$	\$												
b. Advance payments	\$	\$												
4. LIST THE GOVERNMENT AGENCIES INVOLVED			5. SHOW THE APPLICABLE CONTRACT NOS.											

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SECTION VI - BUSINESS AND FINANCIAL REPUTATION

1. COMMENTS OF PROSPECTIVE CONTRACTOR'S BANK

2. COMMENTS OF TRADE CREDITORS

3. COMMENTS AND REPORTS OF COMMERCIAL FINANCIAL SERVICES AND CREDIT ORGANIZATIONS (Such as, Dun & Bradstreet, Standard and Poor, etc.)

4. MOST RECENT
CREDIT RATING

a. DATE

b. BY

5. DOES PRICE APPEAR UNREALISTICALLY LOW?

☐ YES☐ NO (if YES, explain in Section I NARRATIVE)

6. DESCRIBE ANY OUTSTANDING LIENS OR JUDGEMENTS

SECTION VII - SALES (000'S) FOR NEXT SIX QUARTERS

CATEGORY	1	2	3	4	5	6	TOTAL
1. CURRENT CONTRACT SALES (Backlog)	\$	\$	\$	\$	\$	\$	\$
A. GOVERNMENT (Prime & Subcontractor)							
B. COMMERCIAL							
2. ANTICIPATED ADDITIONAL SALES							
A. GOVERNMENT (Prime and Subcontractor)							
B. COMMERCIAL							
3. TOTALS							

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